

ENGINEERING CONSULTANTS SECTION

New Consultant Information

Last Updated March 13, 2007

FOREWORD

The following information will provide an overview of how the Arizona Department of Transportation selects Consultants for professional engineering services, beginning with the Prequalification process and ending with execution of a contract.

Engineering Consultants Section (ECS) is the primary contact for contracting for professional engineering services within the Intermodal Transportation Division (ITD).

STEP ONE – PRE-QUALIFICATION

Prime Consultants interested in providing services to ADOT are required, unless noted otherwise in a solicitation announcement, to be pre-qualified with ECS. Subconsultants are not required to be pre-qualified but are encouraged to do so. Consultants will be considered pre-qualified for a two year period.

Prior to the expiration of a pre-qualification period, all currently pre-qualified Consultants will be notified by ECS to submit a pre-qualification package for the new period. Files of the Consultants who do not renew their pre-qualification will be removed at the end of the renewal period. Files of the Consultants who do not renew their pre-qualification but have active contracts will be retained.

Pre-qualification applications may be filed with ECS at any time throughout the year or along with your proposal submittal. Pre-qualification packets are available at any time by contacting ECS or at the following ECS website –

<http://www.azdot.gov/Highways/ecs/index.asp>

You may copy the existing forms or generate your own forms as long as they contain the required information.

The completed application may be mailed or delivered to:

Arizona Department of Transportation
Engineering Consultants Section
205 South 17th Avenue
Mail Drop 616E, Room 293E
Phoenix, Arizona 85007 – 3212

After pre-qualification, the firm will be placed on the "Consultant Mailing List" and will automatically receive complimentary copies of all advertisements, Informational

Bulletins, and other pertinent information issued by ECS. We currently distribute all material and notifications electronically via e-mail.

Questions may be directed to ECS at (602) 712-7525.

STEP TWO - ADVERTISEMENT

Adhering to a process, which provides for maximum free and open competition, two notices requesting submittal of proposal packets are published in a single newspaper or in multiple newspapers of general circulation within the State with an accumulated general circulation of not less than 50,000 subscribers. The official notices are normally placed in the Legal Advertising section not less than six nor more than ten calendar days apart. Normally, the deadline for ADOT receipt of the proposals is not less than two weeks following the first publication of the notice. A courtesy copy is also e-mailed to all pre-qualified Consultants.

Consultants wishing to respond to an advertisement must respond using the Statements of Qualifications (SOQ) format identified in the solicitation package. Solicitation packages are available via ECS website or by calling or writing to:

Arizona Department of Transportation
Engineering Consultants Section
205 South 17th Avenue
Mail Drop 616E, Room 293E
Phoenix, Arizona 85007
Phone: (602) 712-7525
Fax: (602) 712-7424
Website: <http://www.azdot.gov/Highways/ecs/index.asp>

Note: Failure to receive notification of project solicitation is not grounds for late submittal of the SOQ.

STEP THREE - PROPOSAL PREPARATION AND SUBMITTAL

Some contracts schedule a pre-submittal meeting which is open to all Consultants. It is arranged prior to the deadline for receipt of the proposals. Questions relative to the project are discussed and clarified at that time.

In lieu of a pre-submittal meeting the Department may choose the option to dedicate a week to allow any firm to make an appointment with the ADOT Project Manager for a maximum of one hour. At that time, the ADOT Project Manager will answer to Consultant's specific questions.

Instructions relative to submission of the proposals advise that short-list/selection will be made by a qualified panel composed of persons having expertise in the specific area required by the project. Selection criteria and weighing factors are identified in the SOQ package. When necessary, oral interviews with the short-listed Consultants will be conducted.

A specified number of copies of the proposals will be required. The proposals shall clearly indicate the Consultant's name, address, contract number and project description.

When necessary, ECS provides addendums to the original solicitation to all firms listed on the proposal request log. Firms submitting must acknowledge, in writing, that they received the addendum notification. A copy of the signed acknowledgement must be included in the proposal submittal.

Timely receipt of the proposals will be determined by the date and time the proposal package is received at the address specified in the proposal. Receipt of this package in the ADOT Mail Room or any other ADOT office shall not be considered timely. Hand delivery is encouraged to assure timely receipt.

No proposals will be accepted after the time and date indicated. Proposals received after the deadline will be stamped for time and date, and returned unopened. The accepted proposals will be opened at the time and place indicated in the solicitation.

A listing of firms submitting should be available upon request within one to two working days after proposal deadline. Information is also posted on the ECS website.

All materials submitted in accordance with the proposal guidelines become the property of the State of Arizona and shall not be returned.

STEP FOUR - PROPOSAL REVIEW AND SELECTION

From those submitted proposals, a Qualifications Based Selection (QBS) process will be used to determine the firm or firms selected to perform the work identified in the solicitation package.

The purpose of the Selection process is to arrive at a consensus recommendation of a firm or firms. This is accomplished by:

1. Convening a Selection Panel to individually review, evaluate, score and comment on the Statements of Qualification according to the evaluation criteria for the project.
2. Conducting oral interviews, if applicable.
3. Compiling a rank order from final scores.
4. Submitting the rank order to the Contract Administrator through the Contract Manager for approval of the recommended firm(s).

The proposals are evaluated by qualified panel members who are familiar with the type of project and related requirements. The panel may include personnel other than ADOT employees. For ADOT Consultant selection, the evaluation factors may include, but are not limited to, the following:

For Standard Project Specific and On-Call Contracts --

- (1) Project Understanding and Approach
- (2) Project Team
- (3) Firm's Capability
- (4) Location of Work

For Supplemental Services Contracts --

- (1) Relevant Experience
- (2) Demonstrated Knowledge, Skills & Abilities
- (3) Education and Training
- (4) Knowledge of Federal and State Standards

Other considerations may include, but are not necessarily limited to, availability, current workload status, and past performance. Specialized evaluation criteria and an alternative selection process may be used on Contracts for which the above listed standard criteria does not apply.

STEP FIVE - CONSULTANT DEBRIEFINGS

After Consultant selection has been approved, all firms who submitted proposals are provided the opportunity to review the winning proposal(s), as well as, receive their proposal evaluation scores. Firms must call in advance to set up an appointment with the assigned ECS Contract Management Specialist.

STEP SIX - PRE-AWARD AUDIT

In order to determine fair and reasonable overhead rates, ECS will request a pre-negotiation audit. Firms will be requested to submit Consultant Audit Questionnaire and comply with the Advance Agreement Checklist. Copies of the documents may be obtained through ADOT's Audit & Analysis website --

http://www.azdot.gov/Inside_ADOT/audit/index.asp.

A pre-award audit is requested when total costs are expected to exceed \$250,000, when the firm has not had a contract with ADOT for one year, or whenever a valid need exists. At the auditors' discretion, the audit may require an examination of the Consultant's records.

Allowability and allocability of costs is determined by CFR 48, FAR, Part 31. Audit recommendations may be incorporated into the contract.

STEP SEVEN - CONTRACT NEGOTIATIONS

The selected Consultant is required to attend a pre-negotiation conference with the ECS Contract Management Specialist and the ADOT Project Manager. When applicable, the Consultant may be required to attend a partnering workshop. The objectives of the pre-negotiation conference are (1) to achieve a clear and mutual understanding of all contract requirements, (2) to identify and resolve potential problems, and (3) to define negotiation parameters. Items of discussion include, but are not limited to derivation of cost format, justification of costs, work hour breakouts, audit information, establishment of fixed fee factor and scope of work.

Following agreement on level of effort, the selected Consultant is requested to submit a detailed cost derivation for the work to be performed, including a cost derivation for each proposed Subconsultant. The final cost shall reflect the complexity of the work, the degree of risk and profit. All rates used in the cost derivation, unless specified otherwise, shall be the estimated averages anticipated for the life of the contract.

In order to determine fair and reasonable wage rates, ECS will request the selected firm to submit current payroll rates for all employees whose rates were used to develop the rates proposed for each labor classification. The rates should be certified as accurate by either the Chief Financial Officer or President/Vice President of the firm. Proposed rates will be compared to ECS historical wage rates for the firm and/or the discipline. The Department reserves the right to cap rates that are considered excessive and above historical rates for the classification.

The scope of work is reviewed by the ADOT Project Manager and the ECS Contract Management Specialist prior to preparation of the contract for Consultant signature.

The cost derivation form is reviewed first by the ECS Contract Management Specialist and Contract Manager, the ADOT Project Manager, and ADOT's Office of Audit and Analysis, to insure that the costs submitted by the Consultant are fair and reasonable and within ADOT's guidelines.

When irreconcilable differences occur between the Consultant and ADOT regarding the costs, ADOT may request a "best and final" offer from the Consultant. ADOT reserves the right to reject the proposal. In the event of a rejection, the next Consultant on the evaluation list is recommended to ADOT Management for approval to enter into the negotiation process.

STEP EIGHT - CONTRACT EXECUTION

The contract is reviewed by the ECS Contract Management Specialist for correctness and completeness and is transmitted to the Consultant for signature.

Upon receipt of the signed contract from the Consultant, the contract is then forwarded to the appropriate Group Manager and Deputy State Engineer for approval.

When all approvals are received, the contract is submitted to the ECS Contract Administrator for final signature. At this time, the contract is considered executed.
